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ABSTRACT

As a first step toward the development of social indicator reports on the role of the federal government in elementary and secondary education, this paper reviews the history of that role and summarizes the literature that discusses controversies and related issues. The discussion focuses on two issue areas: (1) the responsiveness of federal educational expenditures to the needs of children and schools, and (2) the level of federal influence in elementary and secondary education. The paper presents two conceptual frameworks that identify factors directly or indirectly affecting federal expenditures and federal influences. The paper suggests that these factors, whether or not subject to policy manipulation, should be taken into account in the preparation of social indicator reports. The paper also presents a briefly annotated bibliography of 45 relevant references. (PGD)

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THE FEDERAL ROLE

IN

ELEMENTARY AND SECONDARY EDUCATION

Robert J. Rossi

Prepared by

SAGE
STATISTICAL ANALYSIS GROUP IN EDUCATION

For the

National Center for Education Statistics

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
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TECHNICAL REPORT 4

THE FEDERAL ROLE IN ELEMENTARY AND SECONDARY EDUCATION

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THE FEDERAL ROLE IN ELEMENTARY AND SECONDARY EDUCATION

Introduction

The purpose of this paper is to serve as a first step toward developing and issuing one or more social indicator reports on the role of the federal government in elementary and secondary education. This paper reviews the history of the federal role and the literature that discusses controversies and related issues. Conceptual frameworks (illustrated in Figures 1 and 2) are presented that identify factors that directly or indirectly affect federal expenditures for elementary and secondary education and federal influence in the conduct of educational research and practice. Many of these factors could be subject to policy manipulation and, therefore, should be included in a social indicator report. Other factors identified in the conceptual frameworks are not subject to policy manipulation but would have to be taken into account in analyses on which the social indicator report would be based.

The feasibility of issuing one or more social indicator reports on the federal role in elementary and secondary education is considered in the draft report entitled Feasibility of Social Indicator Reports in Three Content Areas (SAGE draft technical report, submitted in June 1979). That report reviews the availability of data sources for the classes of variables identified in the literature review and conceptual frameworks and recommends formats, outlines, and analyses.

Context

The role of the federal government in elementary and secondary education is multifaceted. In fact, it may be more accurate to refer to the federal roles in these educational areas. At one time or another since the Land Ordinance of 1785, which set aside lands for the construction of schools, the federal government has served as inventor, developer, broker, evaluator, coordinator, facilitator, and

promoter. In each of these roles, it has been instrumental in shaping education* in the United States.

Development of the Federal Role in Education

From the late eighteenth century to the late nineteenth century, federal involvement in elementary and secondary education was limited to land grants, although several unsuccessful attempts were made to provide the schools with general educational aid during this period (e.g., the Hoar Bill of 1870, the Perce Bill of 1872). At the turn of the twentieth century, modest amounts of federal support were provided to schools to achieve specific educational objectives. Agricultural training, vocational education, and instruction in home economics, which were considered to be essential skills for living in a largely rural America, were of principal concern (e.g., the Smith-Hughes Act of 1917). The depression period of the 1930s saw several relief bills enacted that included educational components (e.g., bills authorizing the Civilian Conservation Corps in 1933 and the National Youth Administration in 1935). These bills reflected the federal government's growing interest in education as a means of achieving broader social objectives, such as the reduction of unemployment and the alleviation or amelioration of poverty.

World War II provided the impetus for increased federal aid to schools. The Lanham Act of 1941, the first of several "impact laws," authorized general educational aid to schools in the vicinity of military establishments. The expansion of the Lanham Act in 1950 (e.g., Public Laws 815 and 874) brought with it less narrowly defined eligibility criteria. Schools could receive federal aid if they served children living on federal property, children whose parents were living on federal property, or children whose parents had entered

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*The term "education" in its various forms (e.g., "educational" programs) is used throughout this paper to refer to elementary and secondary education unless otherwise noted. Thus, "educational policies" should be understood as "policies that are relevant to elementary and secondary education."

the school district as a result of federal contracts with private firms (and were not living on federal property at all!). In 1966, funds from these laws were being distributed to 316 of the 437 congressional districts and to 25% of all students in public elementary and secondary schools. During the ten years from 1950 to 1960, over $2 billion were provided in general aid to eligible schools for use in school construction and operation under these authorizations.

More encompassing efforts on the parts of education lobbyists, most notably the National Education Association, and concerned congressional and administration representatives to provide general aid to schools for construction and operation were unsuccessful during the early 1950s. Although general aid legislation faltered, the launching of Russia's Sputnik I motivated substantial concern for the quality of education, primarily science education, in the United States. This concern led to the passage of the National Defense Education Act of 1958, which specified how federal monies (approximately $1.6 billion in 1958) were to be used by schools for instruction in scientific and technical areas, guidance and counseling, testing services, and the development and use of instructional media. Once again, federal education legislation was being used as a means of achieving broader social objectives.

In the early 1960s, attempts to provide general aid to public elementary and secondary schools were defeated as a result of the opposition of parochial school representatives, who stood to gain nothing from the proposed legislation. Support was provided to public schools during this period, however, for the purposes of expanding existing work-study and residential schools programs and for the construction of library facilities (e.g., the Vocational Education and the Library Services Acts of 1963). The passage of these two bills, in spite of the earlier impasse concerning federal aid to parochial schools, provided tangible encouragement that federal education legislation of broader scope might be enacted.

In 1965, such legislation was passed; the Elementary and Secondary Education Act constituted the greatest expansion of the federal role in the history of elementary and secondary education in this country.

Although the bill did not authorize general aid to schools, it did provide substantial support both to public and private schools through a broad range of categorical assistance programs. These programs were designed to alleviate specific problems, such as the education of economically disadvantaged children. Passage of this act was achieved in less than three months and has been attributed to presidential power (the Johnson administration), to public confidence in government activity, to the prospect of future federal budget flexibility, and to the scholarly and political consensus regarding the promise of education for increasing social and economic opportunities (Williamson & Moorman, 1977). Title I of the law, its major component, authorized $1 billion to be spent each year to meet the special educational needs of educationally disadvantaged children in low-income areas. Between 1965 and 1975, the authorization rose to an annual level of $4.4 billion, although appropriations rose only to $1.9 billion in that period (McLaughlin, 1977).

Following passage of the Elementary and Secondary Education Act, most federal efforts to support education were aimed at extending and improving existing legislation. New programs were few in number and were administered under existing authorities. Increasing support was provided for research and development efforts to gain new knowledge concerning the operation and improvement of existing programs. The National Assessment of Educational Progress, which was designed to evaluate systematically the strengths and weaknesses of the educational system in terms of student performance, was begun in 1969. Funds continued to be provided to the research laboratories and educational policy research centers that had been established during the period 1963 to 1965, and, in 1972, the National Institute of Education was created. Issues of federal control, desegregation, campus unrest, and inflation occupied much of the concern of federal-level policymakers (Thomas, 1975). More importantly, results of early evaluations of compensatory education programs were interpreted as evidence that increases in school funding or changes in school practices had little impact on inequalities in educational achievement. (Several of these

evaluations are described in Rossi, McLaughlin, Campbell, & Everett, 1977.)

At the present time, debates concerning federal educational policies are focused largely on technical issues such as the relative cost-effectiveness of alternative intervention strategies and the relative impacts of various federally sponsored programs. Although doubts are frequently voiced concerning the appropriateness and effectiveness of the various federal roles in education, the federal government continues to be an important supporter of elementary and secondary education. In 1920, the federal share of per-pupil expenditures amounted to a mere 1% of the total, with the remaining support coming largely from local revenues. By 1940, the federal share had doubled, and it doubled again by 1960, rising to 4%. In 1965, after passage of the Elementary and Secondary Education Act, federal per-pupil expenditures comprised 7% of the total, and in 1977, the federal share had risen to almost 9% (Ferriss, 1969; Golladay & Noell, 1978). It is difficult to estimate the influence of the federal share of per-pupil expenditures on the content and the conduct of education in the schools because data describing the ways in which these federal funds are used by the schools (e.g., to purchase curriculum materials) are not usually reported.

Looking ahead, the prospects for increased federal spending for education are uncertain. On the one hand, projections of future federal budgets show little opportunity for new or expanded domestic programs (Schultze, 1976). Furthermore, education can no longer expect to be at the "top of the list," politically speaking, when available funds are allocated (Williamson & Moorman, 1977). On the other hand, should property tax reforms such as Proposition 13 (1978 in California) be enacted in additional states, both the amount of federal revenues and the relative priority of federal support for education may be increased.

David Breneman (1978) recently provided a summary of possible future directions for the federal role in elementary and secondary education.

> The Congressional Budget Office has identified three areas for possible expansion of the federal role in elementary and secondary education: (1) school finance reform, (2) universal preschool, and (3) general aid to education (the National Education Association's proposal to increase the federal share of school expenditures from 8% to 33%). Within the administration, there is discussion of a career incentives act and a community school act. Of these various possibilities, school finance reform is most likely to be considered soon. Congressman Carl D. Perkins (Democrat, Kentucky), chairman of the House Committee on Education and Labor, introduced a bill authorizing federal incentive payments to states working to equalize school financial resources. Hearings on this bill served to stimulate interest in the topic; the 1979 budget includes $2 million to study the potential federal role in school finance reform. Possible results might be (1) modification of categorical programs so that they help, rather than hinder, state attempts at reform, and (2) a new federal program to encourage more equitable financing of elementary and secondary education both within and among states. [p. 104]

In addition to these directions, it is possible that federal educational efforts will be consolidated into a cabinet-level Department of Education. Such a development will surely affect the ways in which federal involvement in education is perceived, whether or not the nature of this involvement is changed. Given the amount of uncertainty that exists with respect to future directions of federal involvement in education, this overview of major currents of thought on the topic must be regarded as only a sampler of possibilities.

Major Controversies Surrounding the Federal Role in Education

The history of federal involvement in education has been characterized by continuing debate concerning the extent to which federal, state, and local agencies should work together to provide educational services. Initially, the principal issue was whether the federal government should play any role at all in the educational process. Arguments opposing federal aid to education focused on the impossibility of equalizing educational opportunity, the lack of need for federal assistance, the threat of federal control, the unconstitutionality of

federal intervention, the costs of federal intervention, the discouragement of individual initiative, the opposition by the public to federal support, the lack of historical precedent for this support, and the infringement of individual freedom (Tiedt, 1966). Those in favor of providing federal assistance to the schools took issue with each of these arguments and, in turn, they claimed that federal support was desirable because of the broader federal tax base, the mobility of the population, and the greater efficiency of federal taxes.

When the federal government began its support of education, the principal issue concerned funding strategy. Schools and their representatives among the education lobby and the Congress argued for general, or unrestricted, aid. Their main contention was that education-related needs could best be determined (and money, therefore, could best be allocated) at the local level. Moreover, they argued that federal involvement in the allocation of educational resources at the local level would distort local educational goals (Thomas, 1975) and reduce the effectiveness of local supervision and management of education (Cordasco, 1966). Opponents of general aid worried that such unrestricted assistance would be misused. In addition, they tended to favor categorical assistance programs for political reasons. Norman C. Thomas (1975) noted that

> There were practical political advantages to congressmen in categorical aid bills. Categorical aid permitted them to support specific popular educational goals and to retain a substantial measure of control over the spending, yet it avoided the appearance of a wholesale raid on the treasury. Categorical aid made it possible for many congressional conservatives to support a substantial degree of federal assistance while maintaining steadfast opposition to "federal aid to education." While liberals pushed for general aid bills, they were willing to settle for categorical aid wherever and whenever it could be enacted. [p. 38]

At the present time, categorical rather than general assistance is the preferred federal funding strategy. Current debate concerning the educational partnership between the federal government and state and local education agencies is focused on the degree to which the

federal government should have a voice in determining the conduct and the content of educational practice (Krathwohl, 1977; Goldhammer, 1978).

Advocates of active federal participation stress the need for federally supported evaluations (McLaughlin, 1975; Rossi, McLaughlin, Campbell, & Everett, 1977), for federally supported attempts to promote educational innovations (Berman & McLaughlin, 1978), and for unified federal policy with respect to educational research and development (Singletary, 1978). These individuals point out that the federal government is concerned about meeting the special education-related needs of individuals. They would argue that such concern is reflected in statements of present and future policies (Berry, 1977) and in discussions of the purposes and effects of federally sponsored programs (Chadima & Wabnick, 1977). These advocates might also note that the federal government's concern for meeting the needs of public and private schools is often a major consideration in the planning of research efforts (House of Representatives, 1978).

Those who oppose an active, participatory federal role in determining the conduct and content of educational research and practice warn that such involvement will lead inevitably to federal control (Breneman & Epstein, 1978; Federal Focus, July 1978). They note that the federal government's reliance on requests for proposals (RFPs) to encourage research activities may negatively affect the productivity of researchers (Havighurst, 1978). Furthermore, they argue that federal efforts to develop curriculum materials and guidelines for the schools have eroded concern for important educational goals (Wise, 1978). Finally, it is common for opponents of an active federal role to point out the paperwork burdens that are typically associated with federal support (Bender & Breuder, 1977).

While prospects of reduced federal educational resources can be expected to temper the concern for federal control of education, the debate concerning both the distribution of these resources and the level of federal participation in the educational process will undoubtedly continue. Issues relating to each of these areas should be included in a social indicator report on the federal role in education.

Dimensions of the Federal Role in Education

John Williamson and Hunter Moorman (1977) have identified five perspectives that can be used to describe the federal role in education. These perspectives are (1) the overriding social objectives of the programs (e.g., maintain national security, alleviate poverty); (2) the types of activities and services that are supported (e.g., facilities development, teacher training); (3) the population groups that are targeted for assistance or service (e.g., ethnic minorities, the physically and mentally handicapped); (4) the recipients of federal funds (e.g., state and local education agencies, private research organizations); and (5) the types of federal support or intervention strategies (e.g., matching grants, tax credits). Darlene Russ-Eft, David Rubin, and Rachel Holmen (1978), in developing their taxonomy for recording and indexing education-related issues, have focused on four perspectives of the federal role. These perspectives, which overlap with those presented by Williamson and Moorman are (1) the population served, (2) the services provided, (3) the organization for service delivery, and (4) the methods by which these services are financed. This taxonomy considers the objectives of educational programs to be an attribute of the services provided. Although Breneman and Epstein (1978) have recently suggested that the nature of the objectives stated for federally sponsored educational efforts is indicative of the status of federal educational policy (e.g., whether or not it is unified), the activities and services supported to achieve various objectives appear to provide a more substantive basis for considering issues related to the federal role. Thus, taking the Russ-Eft, Rubin, and Holmen taxonomy as a point of departure, the federal role in education can be thought of in terms of four dimensions: (1) the individuals targeted to receive support (target populations), (2) the activities and services that are supported, (3) the agents who perform or administer these activities and services, and (4) the funding strategies used to provide support. Table 1 presents the major categories within each of these dimensions.

Recognizing that the federal role in education is multidimensional is important. A social indicator report describing the federal role

Table 1

Major Categories within Each Dimension of the Federal Role

I. Target Populations
   - A. Ethnic minorities
   - B. Women
   - C. Physically and mentally handicapped
   - D. Non-English speaking
   - E. Native Americans
   - F. Persons living below the poverty level

II. Activities and Services
   - A. Development of educational objectives
   - B. Instructional services
     1. Traditional (e.g., reading, writing, math)
     2. Nontraditional (e.g., sex education, drug abuse education)
   - C. Instructional materials development
   - D. Demonstration and dissemination of innovative programs
   - E. Facilities development
   - F. Administrative support services
   - G. Research and evaluation
   - H. Technical assistance
   - I. Health and nutritional services
   - J. Counseling services (including testing services)

III. Agents Performing or Administering Activities and Services
   - A. Public schools and state education agencies
   - B. Private schools
   - C. R&D organizations
     1. Private
        a. profit
        b. not-for-profit
     2. Public

IV. Funding Strategies Used to Provide Support
   - A. Categorical grants (including research contracts)
   - B. Incentives or matching grants
   - C. Tax credits
   - D. Direct assistance to individuals

will not be considered comprehensive unless the current status of federal involvement is described in terms of each dimension and compared to the status of involvement on these dimensions for past years. In addition, the major issues to be addressed in a social indicator report on the federal role are related to these four dimensions.

Conceptual Framework

We have identified from the literature two issue areas that a social indicator report on the federal role in education must address: (1) the responsiveness of federal elementary and secondary education expenditures to the education-related needs of children and of schools and (2) the effects of the increasing influence exerted by the federal government on state and local education agency policies and practices. Each issue area is examined in terms of the various dimensions of the federal role in education. In addition, the major issues identified within each of these areas are organized with respect to relevant dimensions of the federal role. References to recent discussions of each of the issues are provided. Conceptual frameworks (illustrated in Figures 1 and 2) are presented that identify factors that directly or indirectly affect federal elementary and secondary expenditures and the federal influence in the educational process.

Responsiveness of Federal Elementary and Secondary Expenditures

Targeted Populations

- To what extent do federal educational expenditures meet the education-related needs of students? (Berke, Goettel, & Andrew, 1972; Goldhammer, 1978)

Agents Performing or Administering Activities and Services

- To what extent do federal educational expenditures meet the needs of public and private schools? (Goldhammer, 1978; Morrison & Hodgkins, 1978)

The disaggregation of federal elementary and secondary expenditures by (1) the types of individuals targeted to receive support,

(2) the types of activities and services provided, (3) the types of agents who perform or administer these activities, and (4) the types of funding strategies used to provide support would provide a useful overview of the federal role in education. On the surface, tabulating such information would seem to be relatively straightforward; however, the task will actually be quite difficult. The list of federal agencies that provide support for educational activities is diverse, as are the objectives associated with these expenditures and the methods by which actual allocations are made. Determining the expenditures for various activities and services and for different funding strategies is, therefore, likely to require considerable effort. In a similar vein, agency expenditures are often recorded only in terms of the programs being supported. Thus, for example, determining U.S. Office of Education expenditures for "educationally deprived children" is easy, but determining the types of educationally deprived children receiving support and the types of agents who administer or provide it would be difficult. Nevertheless, since these data, or the best available estimates of them, are needed for the social indicator report, every effort must be made to obtain them.

Presenting data on federal elementary and secondary expenditures will require careful thought concerning the categories used. For example, educational practitioners might want to know the amount of federal educational research and development expenditures disaggregated by the types of skills or products for which these activities are relevant. Thus, for practitioners the amount spent on the development of curriculum materials, teacher training materials and methods, and so on, might be presented. On the other hand, these same data may be more informative to educational planners and researchers if presented in categories such as knowledge production (e.g., basic research), problem solution (e.g., evaluation), and utilization (Mason & Nelson, 1978).

Harry Summerfield (1974) pointed out the many ways that political factors, such as conservative-liberal orientation and political party affiliation of congressional and administration officials, affect the pattern of expenditures at the federal level. John McDermott (1974)

summarized the important influences of federal court decisions on resource distribution. Assessing the directions and magnitudes of changes in federal educational resource distribution that have resulted from court decisions will allow estimation of the influence of the judiciary on federal educational policymaking. This topic has recently been examined through a historical review of major court decisions related to education (Kirp, 1977). The importance of education lobby activities as influencing factors affecting this distribution was discussed by Bailey, Frost, Marsh, and Wood (1962) and Bailey (1975). These activities are likely to be indicated by the contents of written materials lobbying groups prepare and by the types of letter-writing campaigns that they sponsor.

The needs of private and public schools, as well as the educational needs of individuals, are also factors that influence resource distribution (Summerfield, 1974; Berry, 1977). Education agency needs may be assessed informally in terms of their resource requirements, the written materials agency officials prepare (e.g., reports to state finance units), and the public statements that are made by groups representing the interests of these agencies, such as the Chief State School Officers. More rigorous needs assessments for these agencies and for individuals eligible for support will require the examination of relevant survey, evaluation, and audit results.

Dale Mann (1976) has argued persuasively that policy-oriented research findings can influence resource distribution. Recommendations can be organized according to the types of needs to be addressed and the types of activities to be supported. They can then be compared to actual federal allocations. Mann also suggested the relevance of resource distribution patterns used in the past by various federal agencies to those currently being considered or followed. Abbott Ferris (1974) suggested the importance of economic factors, such as the unemployment rate and the rate of inflation, for determining the pattern of educational expenditures. He also provided evidence of the influence of social factors not directly related to education, such as the rate of military expansion.

Figure 1 displays the major classes of variables related to federal expenditures for elementary and secondary education. Social indicator reports that are produced on the federal role in education should examine the relationships among these variables over time and their relative influences on federal educational resource distribution. The effects of changes in federal expenditures will have to be known and accounted for in that section of the report on the federal influence in elementary and secondary education.

Federal Influence on Educational Research and Practice

Activities and Services

- What is the federal role in determining the instructional methods and materials that are used in the schools? To what extent do the subject matters and teaching approaches stipulated in federal grants meet the needs of students as perceived by teachers? (Teitelbaum & Hiller, 1977; Phillips & Hawthorne, 1978; Wise, 1978; Yaffe, 1978)

- What is the federal role in determining the types of educational research and development activities that are conducted? In what ways has federal participation affected the quantity and quality of research and development in various areas? How have federal regulations and guidelines (e.g., confidentiality restrictions) affected research and development activities? To what extent has federal participation in determining research and development activities in education affected the number and types of research and development organizations that apply for support? (Tyler, 1976; Klausmeier, 1977; Krathwohl, 1977; Michael & Weinberger, 1977; Guba & Clark, 1978; Havighurst, 1978)

Agents Performing or Administering Activities and Services

- What is the federal role in determining the amounts of time spent on administrative and evaluative tasks by instructional and administrative staff in public and private schools? In particular, what are the burdens associated with the receipt of federal support as perceived by the staff of these agencies? In what ways do these perceived burdens affect the qualities of the working relationships between local and state education agencies? (McLaughlin, 1975; Frohlicher & Jennings, 1976; Bender & Breuder, 1977; Williamson & Moorman, 1977)

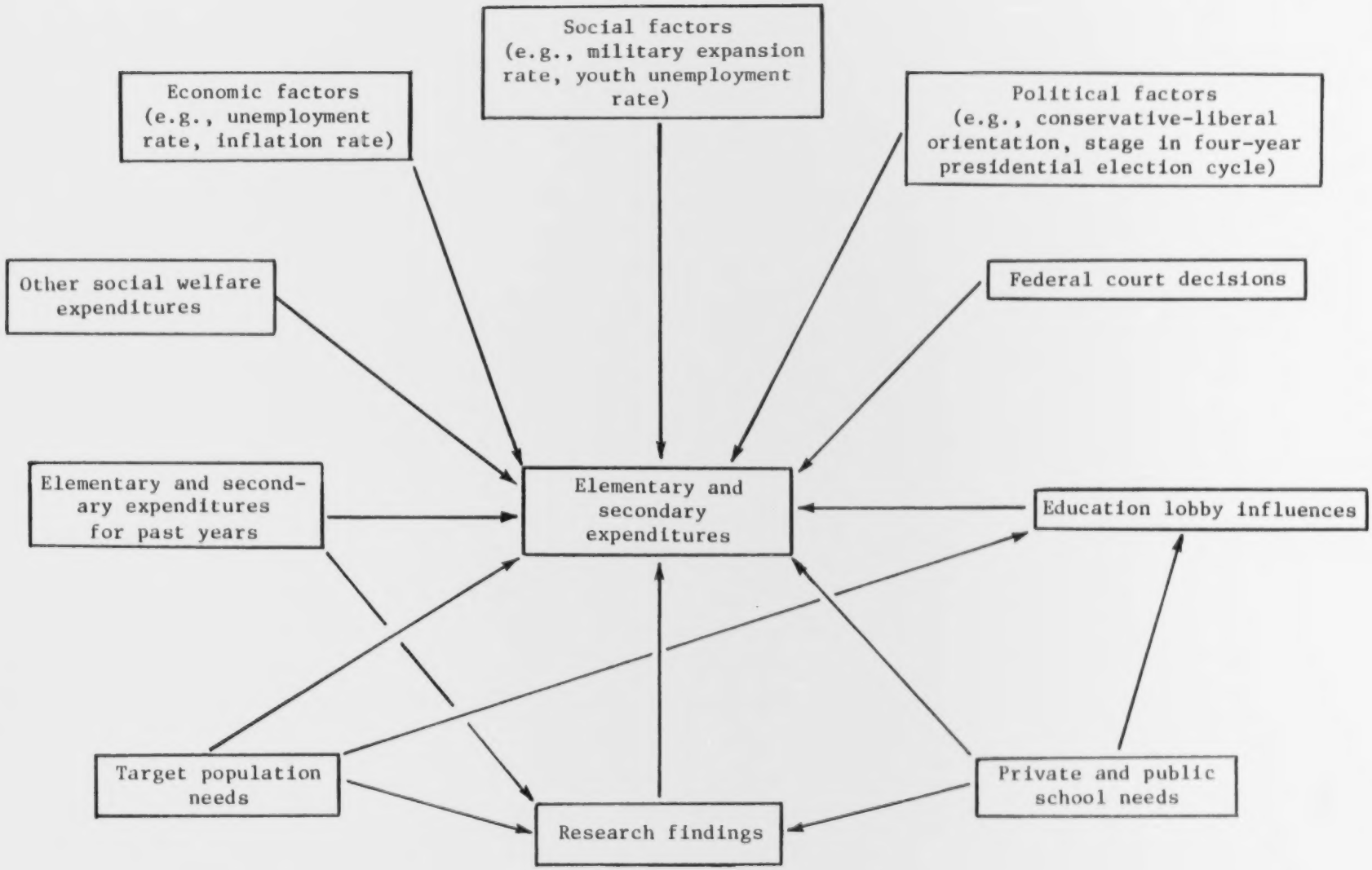
Social factors
(e.g., military expansion rate, youth unemployment rate)
Economic factors
(e.g., unemployment rate, inflation rate)
Political factors
(e.g., conservative-liberal orientation, stage in four-year presidential election cycle)
Other social welfare expenditures
Federal court decisions
Elementary and secondary expenditures for past years
Elementary and secondary expenditures
Education lobby influences
Target population needs
Private and public school needs
Research findings

Figure 1. Major classes of variables related to federal expenditures for elementary and secondary education.

Funding Strategies Used to Provide Support

- What is the federal role in determining the ways in which public and private schools allocate their educational resources? What are the financial burdens and actual costs associated with federal matching grants? To what extent does categorical aid ensure that federal policies and priorities receive the attention at the local level that was intended? (McDermott, 1974; McLaughlin, 1975; House of Representatives, 1978)

Important variables for assessing federal influence on educational practice include the amount of time teachers and students spend in the various educational activities supported by the federal government and the amount of time teachers and administrators spend in responding to various federal reporting and evaluation requirements. Measures of administrator time spent in complying with federal educational requirements and monitoring federally sponsored programs in the schools will also be needed for state-level education agencies. Measures of the frequency with which curriculum materials and teaching methods are used that are recommended or required by federal guidelines will be more difficult to obtain. Measures of this type require careful recordkeeping by individual teachers, since the availability of materials at the school level (which might be more easily assessed) does not determine the frequency or the manner in which they are used. Nevertheless, these measures are necessary to assess an important aspect of federal influence on the educational process, namely, the degree to which curriculum development efforts sponsored by the federal government are successful in producing materials that schools will use. A related set of measures of the degree to which the contents of instructional materials and methods used in classrooms conform to the criteria established for the evaluation of federally supported activities will also be needed. These measures will enable one of the more subtle aspects of federal involvement in education to be assessed, namely the extent to which teachers "teach for the test." Finally, the amounts spent by public and private schools to receive federal funds should be monitored. For example, more and more federal grants require that prospective recipients match all or a portion of the funds requested.

Federal influence on educational research and development activities can be assessed roughly in terms of the percentage of total revenues from federal sources of the various types of research and development organizations (e.g., colleges and universities, profit and not-for-profit private firms). Determining the proportion of federal funding provided by grants as opposed to contracts will provide a more sensitive measure of the degree of federal influence. It has often been argued that grants allow the researcher greater latitude in his or her work than do contracts (Krathwohl, 1977; Havighurst, 1978). In addition, the percentage of time spent by staff of each of these types of organizations in meeting federal requirements concerning the confidentiality of individuals involved in the research and the design of data gathering instruments and procedures should be estimated. Preferably, the measures of both the amount of revenues derived from federal sources and the time spent conforming to federal guidelines would be disaggregated by the type of research and development activity performed (e.g., curriculum materials development, dissemination).

John McDermott's (1974) analysis of the operation and influence of the federal courts on federal educational policy demonstrated the significance of federal court decisions for the level of federal influence in education. These decisions can have direct effects, such as when school desegregation efforts were upheld, as well as indirect effects through the clarification of federal guidelines and regulations.

Federal Focus (July 1978) has recently pointed out that the level of public and private school resources can determine the extent to which schools are willing to comply with various federal regulations and requirements to obtain funds. Measures of the resources should include revenues for education by type of activity area, teacher-student ratios, and administrator-student ratios. For state-level agencies, administrator-school ratios will also be needed.

Federal influence in educational research and development may also be affected by increases in the amounts of nonfederal resources (e.g., foundation grants) available for these activities (Krathwohl, 1977). Brooks (1976) has suggested, however, that the increased influence of private funding for educational research and development

should not be expected to change the nature or the pattern of these activities. Finally, the influence of federal guidelines and regulations on both educational practice and research have been shown in several studies (McLaughlin, 1975; Michael & Weinberger, 1977; Havighurst, 1978).

Figure 2 displays the major classes of variables related to federal influence in elementary and secondary education. These relationships and changes in them that occur over time should be examined in the one or more social indicator reports that are produced.

Summary

An attempt has been made to summarize the literature describing the federal role in elementary and secondary education. The discussion has focused on two issue areas: (1) the responsiveness of federal expenditures for elementary and secondary education to the education-related needs of children and schools and (2) the level of federal influence in elementary and secondary education. Conceptual frameworks have been developed for each issue area that describe the major classes of variables whose interrelationships must be examined in the one or more social indicator reports on the federal role that are produced.

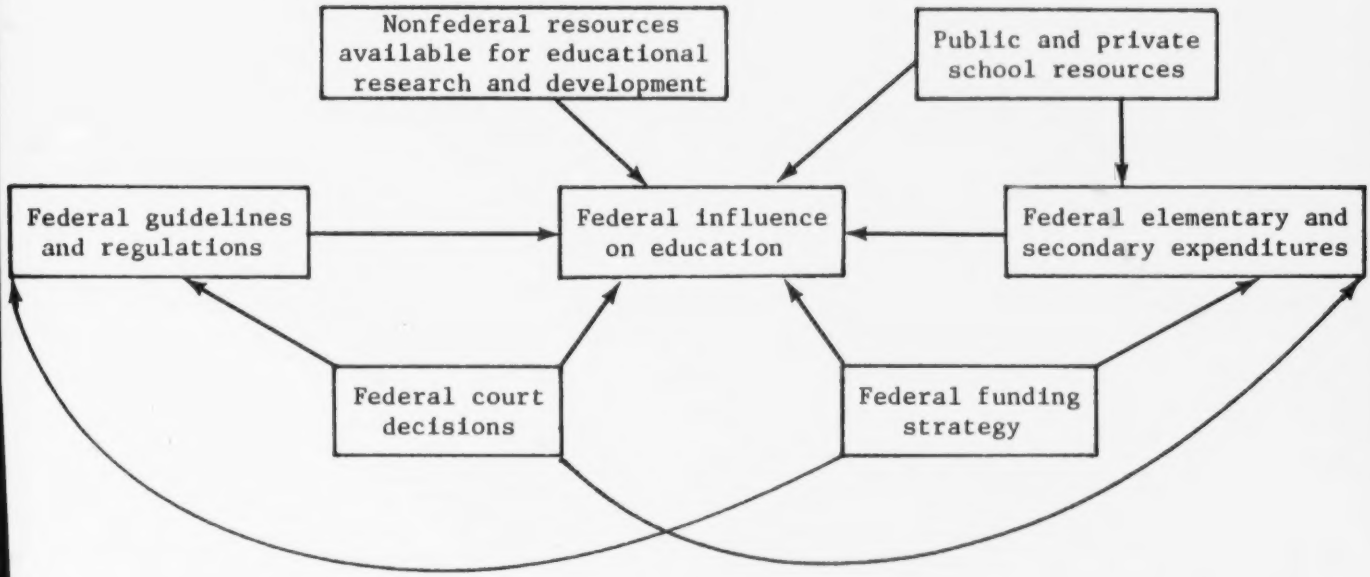
Nonfederal resources available for educational research and development
Public and private school resources
Federal guidelines and regulations
Federal influence on education
Federal elementary and secondary expenditures
Federal court decisions
Federal funding strategy

Figure 2. Major classes of variables related to federal influence in elementary and secondary education.

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This monograph clarifies the roles that educational interest groups play in educational policymaking at the federal level and describes both their constituencies and their goals.

Bailey, S. K., Frost, R. T., Marsh, P. E., & Wood, R. C. Schoolmen and politics: A study of state aid to education in the northeast. Syracuse: Syracuse University Press, 1962.

The processes by which aid to education was provided to one region of the United States are described. The purpose of this description is to demonstrate that the amount of money state governments make available for general aid to public schools is determined politically. While much of what is said concerns only the state and local levels of education, the implications of political processes occurring at these levels for federal policymaking in education are drawn out.

Bender, L. W., & Breuder, R. L. The federal/state paperwork menace. Community College Review, 1977, 5(1), 16-22.

The magnitude of paperwork associated with state and federal regulations is discussed, and institutions are urged to conduct research to determine the cost and impact of these regulations. Increasing governmental rules and regulations and the paperwork associated with them may have significant impact on the effectiveness and efficiency of educational institutions. Institutional identity and autonomy may be eroded, and program quality may be impaired.

Berke, J., Goettel, R., & Andrew, R. Equity in financing New York City's schools: The impact of local, state, and federal policy. Education and Urban Society, 1972, 4(3), 261-291.

This paper discusses important developments in the study of educational finance, recent legal cases that have invalidated systems of school funding, and conceptions of equity and equality of educational opportunity as they affect the ways in which schools are supported. Inequities in school financing in the state of New York are focused upon, and the impacts of local, state, and national policies on these inequities are examined.

Berman, P., & McLaughlin, M. W. Federal programs supporting educational change, Volume VIII: Implementing and sustaining innovations (Technical Report prepared for the U.S. Office of Education, Department of Health, Education, and Welfare). Santa Monica, Calif.: Rand, 1978.

This report summarizes the findings from the two major phases of a study of federally funded programs designed to introduce and spread innovative practices in public schools. Drawing on these results, the report describes the process of change at the local level--initiating, implementing, and sustaining innovative projects. The final section discusses the implications of these results for federal educational policy.

Berry, M. F. The federal role in education for the handicapped. The Exceptional Parent, 1977, 7(5), 6-7.

The Assistant Secretary for Education, Department of Health, Education, and Welfare, reviews the history of federal involvement in the education of the handicapped, discusses the impact of P.L. 94-142, the Education for All Handicapped Children Act, and states areas needing further federal efforts.

Breneman, D. W. Education. In J. A. Pechman (Ed.), Setting national priorities: The 1979 budget. Washington, D.C.: The Brookings Institution, 1978.

Present and future directions for federal educational policymaking are discussed in this policy paper. Federal goals, budgets, legislative considerations, and future initiatives are addressed for each level. Several current issues, such as the organization of a cabinet-level Department of Education, are discussed.

Breneman, D. W., & Epstein, N. Uncle Sam's growing clout in the classroom. Washington Post, 6 August 1978, D1-D4.

Several questions concerning the implications associated with the creation of a cabinet-level Department of Education are raised. The chief concern surrounds the use of such a department to consolidate federal educational policy and thereby extend federal control of education.

Brooks, H. The federal government and the autonomy of scholarship. In C. Frankel (Ed.), Controversies and decisions: The social sciences and public policy. New York: Russell Sage, 1976.

This chapter explores the meaning of the term autonomy and considers ways in which governmental and private sponsorship of research and

development activities can affect varying degrees of autonomy available to scholars. The author suggests that a certain minimal percentage of the funds devoted to research be expended to support individualistic, self-generated investigations not too narrowly defined by the sponsor.

Chadima, S., & Wabnick, R. Inequalities in the educational experiences of black and white Americans. Washington, D.C.: Congressional Budget Office, 1977.

Major federal educational programs are described and their intended effects on students are discussed in this monograph. Care is taken to characterize the effectiveness of these programs in terms of their abilities to meet students' needs.

Cordasco, F. M. The federal challenge and peril to the American school. School and Society, 1966, 94(2278), 263-265.

The author argues that the federal government must work with local education agencies to improve the quality of education and to achieve broader social goals. He cites several well-intentioned federal programs that have gone awry because they failed to capitalize on the abilities and the experience of local school personnel.

Proposition 13 undermines federal programs. Federal Focus, 1978, 3(7), 1-4.

This article describes the ways in which California's Proposition 13 has negatively affected education in the state and may negatively affect education nationally should such measures be enacted in other states. Possible reactions on the part of the federal government are considered, and the prospects and implications of increased federal assistance to the schools are examined.

Ferriss, A. L. Indicators of trends in American education. New York: Russell Sage, 1969.

A collection of time-series data depicting trends in American education is presented. Topics addressed include enrollment, teachers, quality of education, graduates, and educational attainment. One chapter focuses on elementary and secondary educational financing, noting the responsibilities assumed over time by federal, state, and local authorities.

Ferriss, A. L. Monitoring and interpreting turning points in educational indicators. Social Indicators Research, 1974, 1, 73-84.

The author claims that most turning points in educational indicators are not cyclical but respond to major societal events. Three examples

are presented. (1) The probability of a tenth grader continuing to the eleventh grade has increased linearly for sixty years, being affected positively by unemployment and negatively by increase in GNP per capita and by military expansion. (2) Baccalaureate degrees per high school graduate four years earlier declined with the expansion of secondary education following the 1890s, rose after World War I, and fell as the Depression approached. A major turning point occurred after World War II, and the indicator peaked in 1950. (3) A downward turning point in the school enrollment rate of 18- to 19-year-old males may have been prompted by a change in Selective Service policies granting exemptions to college enrollees.

Frohlicher, J. S., & Jennings, J. F. The federal approach to education: What happens after the November elections? Phi Delta Kappan, 1976, 58, 179-180.

The authors discuss three key issues that they feel will have to be faced regardless of who wins the November 1976 elections: categorical vs. general aid; more paperwork vs. accountability for funds spent; and increased federal intervention vs. the need to protect individual rights. Large new sums for educational research are unlikely, so the article recommends the less glamorous but still useful concentration on making existing programs more efficient and effective.

Goldhammer, K. The proper federal role in education today. Educational Leadership, 1978, 35, 350-353.

Federal grants, with their regulations and control, have led to greater accountability on the part of educators and the public. The introduction and continuation of federal educational programs have been of untold benefit to individuals formerly neglected by the educational system. The federal government has an obligation to assist in maintaining the responsiveness of the educational system and its programs to the human needs of our society. Goldhammer presents five ways in which the federal government can help the educational system and its programs meet these needs.

Golladay, M. A., & Noell, J. (Eds.). The condition of education: 1978 edition. Washington, D.C.: National Center for Education Statistics, 1978.

This volume is the 1978 edition of the NCES report on the condition of education in the United States. The volume is principally a compendium of statistical data on students, education personnel, schooling outcomes, school finance, and a comparison between education in the United States and in other countries. Chapter 2 focuses on elementary and secondary education and was written by Valena White Plisko and Jay Noell. The topics addressed include public and professional opinions of professional education, school enrollment, financial resources, organizational resources, and outcomes.

Guba, E. G., & Clark, D. L. Levels of R&D productivity in schools of education. Educational Researcher, 1978, 7(5), 3-9.

This article reports a survey of research productivity among schools of education. The methodology of productivity research is primitive, but preliminary results indicate that at least 80% of the nation's schools of education are not actively involved in educational R&D. The authors feel that the academic community should be concerned about the large number of doctoral-level programs operating in schools that are not involved in R&D, and they suggest that federal funding might be used to build the capacity of these institutions to conduct research.

Havighurst, R. J. A comparison of foundations and government as supporters of experimentation. Phi Delta Kappan, 1978, 59, 679-682.

Havighurst notes that most foundation money in education contributes to the general support or endowment of educational activities, while federal research grants are independent of the funds appropriated by the government for the basic support of public and private educational systems. Foundations are seen as being more innovative and willing to take risks and requiring much less paperwork than federal agencies. The article discusses the levels of cooperation between foundations and the government and the effects of foundation priorities on national policy in educational R&D and other areas of concern.

House of Representatives. Educational Amendments of 1978 (95th Congress, 2nd Session, Report No. 95-1753). Section 1203.

Section 1203 provides for the availability of comparative data on the status and trends in financing elementary and secondary education; the conduct of research related to school finance, including estimates of the funding situation for the next ten years; and the development of recommendations for federal policies for improving the equity and efficiency of federal and state school finance systems.

Kirp, D. L. Law, politics, and equal educational opportunity: The limits of judicial involvement. Harvard Educational Review, 1977, 4(2), 117-136.

This paper traces the influence of court decisions on educational policy through American history. The judicial role in education is noted as having grown more restrained in the 1970s.

Kirst, M. W. What happens at the local level after school finance reform? Policy Analysis, 1977, 3(3), 301-324.

Several critics of school finance reform have argued that most of the additional funds provided by state and federal authorities will go to teachers' salary increases--or, in effect, to price increases for the same levels of service. To test that assertion and to test a variety of social science models for their capacity to explain and predict school districts' decisionmaking process and resulting expenditures, the author analyzes what actually happened in Los Angeles school districts after Senate Bill 90 increased their budgets by 15% in unrestricted state aid. It was found that not all state aid was consumed in price or salary increases for the same services.

Klausmeier, H. J. Proposals for change in federal policy on educational research, development, and implementation. Phi Delta Kappan, 1977, 59, pp. 31-32; 49-50.

The divergence between the hopes for what would be accomplished through federally supported educational research and development and the reality of what has been accomplished has increased during the past decade. The author suggests this divergence has been due to attempts by federal agencies to direct and control the educational R&D activities they support. Three program areas are listed that the author feels need primary attention, and the establishment of educational R&D institutes and implementation councils at the state level is recommended.

Krathwohl, D. Improving educational research and development. Educational Researcher, 1977, 6(4), 8-14.

An attempt is made to analyze the external milieu that supports educational research and the changes that might be made in it to strengthen the overall R&D effort. The author argues that it is imperative for attention to be directed to the political process at the federal level to ensure the authorization of appropriate federal agencies to administer programs of educational research.

Mann, D. Policy decisionmaking in education: An introduction to calculation and control. New York: Teachers College Press, 1976.

Several decisionmaking models are described and analyzed, and their applicability to educational policymaking processes is tested. The author argues that the most accurate model for these processes is one that is based on "disjointed incrementalism." The eight features of this model include (1) marginal calculation, (2) consideration of limited alternatives, (3) consideration of limited consequences, (4) goals adjusted to means, (5) reconstructive treatment of data, (6) serial analysis, (7) social fragmentation of analysis, and (8) remedial orientation.

Mason, W. S., & Nelson, C. E. Federal funding of educational R&D: R&D function by agency. Educational Researcher, 1978, 7(6), 12-17.

This paper examines funding for the various educational research and development functions in different federal agencies and discusses policy concerns that should, in the authors' opinions, guide funding decisions. The functions in terms of which federal expenditures are presented are: (1) knowledge production (e.g., research, statistical activities), (2) problem solution (e.g., evaluation activities, policy formulation demonstrations), and (3) utilization (e.g., policy implementing demonstrations, dissemination).

McDermott, J. E. Federal courts and federal educational policy. In H. Summerfield (Ed.), Power and process: The formulation and limits of federal educational policy. Berkeley, Calif.: McCutchan Publishing, 1974.

The role of the federal judiciary in educational policymaking is examined. The author notes that the influence of the federal courts on the distribution of federal monies for education and the effects of federal court decisions on the federal influence in education is and has been considerable. Arguments are offered as to why the federal judiciary should play a more limited role in the educational policymaking process.

McLaughlin, D. H. Title I, 1965-1975: A synthesis of the findings of federal studies. Palo Alto, Calif.: American Institutes for Research, 1977.

The aim of this monograph is to present the consensus of the results of twenty major Title I studies in terms of policy-related questions. The results are presented first as they relate to the major tasks of Title I: participant selection, treatment delivery, and evaluation reporting. Then the results concerning program effectiveness are reviewed: overall effectiveness, variation in effectiveness as a function of treatment method, and variation in effectiveness across types of participants. Finally, a series of eight major problems in the implementation of compensatory education are identified and briefly discussed.

McLaughlin, M. W. Evaluation and reform: The Elementary and Secondary Education Act of 1965, Title I. New York: Ballinger, 1975.

A case study of the processes involved in the development, enactment, operation, and evaluation of Title I of the Elementary and Secondary Education Act of 1965 is presented. The study, which was based on interviews with policymakers at the federal level, was originally completed as a doctoral dissertation for the Harvard Graduate School of Education. The author's aim is to examine the role of evaluation in the governance and practice of federal education programs.

Michael, J., & Weinberger, J. A. Federal restrictions on educational research: Protection for research participants. Educational Researcher, 1977, 6(1), 3-7.

This article outlines the history of regulations protecting the subjects of medical and educational research, describes the operations of the National Commission for the Protection of Human Subjects, and discusses the effects of these regulations on federal control of research.

Morrison, J. L., & Hodgkins, B. J. Social change and Catholic education. Education, 1978, 98, 264-279.

The contemporary Catholic educational system, in contrast to its original purpose to serve religious ends, is secularly oriented to facilitating the upward social mobility of students. Recent evidence suggests that the academic performance of Catholic elementary and secondary students is now, on the average, superior to that of elementary and secondary public school students.

Phillips, J. A., Jr., & Hawthorne, R. Political dimensions of curriculum decisionmaking. Educational Leadership, 1978, 35, 362-366.

Curriculum design, development, and evaluation involve political decisions since they require the application of values. The author makes nine observations about the political aspects of curriculum decisionmaking, including a discussion of the locus of control for this decisionmaking.

Rossi, R. J., McLaughlin, D. H., Campbell, E. A., & Everett, B. E. Summaries of major Title I evaluations, 1966-1976. Palo Alto, Calif.: American Institutes for Research, 1977.

The purpose of this review and summarization of fifteen major studies of compensatory education, and in particular of Title I of the Elementary and Secondary Education Act of 1965, is to provide students, researchers, evaluators, and policymakers with a usable guide to the evolution of evaluation approaches associated with this large-scale educational program. These studies represent information sources concerning both the process and the effectiveness of Title I program management and project operation since passage of the law in 1965. Among the issues addressed describing the setting for the studies were (1) categorical vs. general aid, (2) accountability vs. program development, and (3) conflicting reports of Title I effectiveness.

Russ-Eft, D. F., Rubin, D. P., & Holmen, R. E. Identification of issues in adult education (Draft Technical Report 1, submitted to the National Center for Education Statistics). Palo Alto, Calif.: American Institutes for Research, 1978.

This paper was developed to assess critical needs for information on adult basic education and in adult education in general. Issues were identified through a systematic review of the literature, as well as through interviews and discussions with persons involved in adult education programs. These issues were grouped into four major categories dealing with (1) the target population and demand population, (2) the services being provided, (3) the organization for delivering services, and (4) the financing of adult basic education and adult education.

Schaffarzick, J., & Sykes, G. A changing NIE: New leadership, a new climate. Educational Leadership, 1978, 35, 367-372.

NIE is shifting its emphasis from sponsorship of full-scale curriculum development projects to support both for basic and applied research and for efforts to stimulate, facilitate, and coordinate the R&D work of other educational agencies. This shift is due, in part, to Rand Corporation studies of program implementation that cast doubt on the cost-effectiveness of centralized curriculum reform.

Schultze, C. L. Federal spending. In H. Owen & C. L. Schultze (Eds.), Setting national priorities: The next ten years. Washington, D.C.: The Brookings Institution, 1976.

This study of federal fiscal capacity projects that the federal budget will allow little leeway for new domestic programs over the next half decade. Under current policy assumptions and a nonrecession budget, the author projects that, for 1981, the total leeway for domestic programs not currently underway will be between $13 billion and $30 billion.

Singletary, H. T., Jr. What is the status of state-federal relationships in schooling? Educational Leadership, 1978, 35, 374-379.

What should be the appropriate role of the federal government in American education? The author suggests that a new mechanism is needed to develop and propose federal education policy. Such a mechanism should, he argues, strongly enhance and support the efforts of states and local school districts to provide quality education.

Summerfield, H. L., Jr. Power and process: The formulation and limits of federal educational policy. Berkeley, Calif.: McCutchan Publishing, 1974.

The federal educational policymaking process is described. The book is based on field work performed by the author, and it offers insights, examples, and opinions derived from his personal experiences as a legislative assistant to a member of Congress. Three chapters review the policymaking environments, principals, and procedures of the education lobby, Congress, and the administration, respectively. A fourth chapter describes the relationship between power and process in federal educational policymaking. The author notes that both the structure and the content of the process are malleable; that is, that both can be shaped by individuals holding the power to encourage some policy outcomes while making others difficult or impossible. On the other hand, the author is careful to point out that the process can affect the ways in which power is exercised. In the final chapter, the author addresses the limits of federal educational policy. The author believes that an extensive and unified federal educational policy would seriously limit individualism.

Teitelbaum, H., & Hiller, R. J. Bilingual education: The legal mandate. Harvard Educational Review, 1977, 47, 138-170.

Court decisions requiring schools to establish bilingual programs for linguistic-minority students are reviewed. Ways that bilingual education can be provided to these students without causing them to be segregated from their peers are presented.

Thomas, N. C. Education in national politics. New York: David McKay Company, 1975.

This book describes the processes through which educational policies are formulated, adopted, and implemented at the federal level. Early chapters discuss the politics of education and focus on the development of the federal role in education. Later chapters describe the policy process itself: the institutions and individuals, the communication patterns and information sources, and the various policymaking stages.

Tiedt, S. W. The role of the federal government in education. New York: Oxford University Press, 1966.

The historical background of the role of the federal government in education is described. Representative arguments for and against greater governmental involvement in education are summarized. The author examines issues pertaining to federal aid to private schools and discusses present and future aspects of this complex problem. A detailed description of the education-related attempts and achievements of the Kennedy-Johnson administration is provided, and representative statements are presented concerning future prospects for federal involvement in education.

Tyler, R. W. (Ed.). Prospects for research and development in education. Berkeley, Calif.: McCutchan Publishing, 1976.

The purpose of this book is to help the reader identify problems associated with educational research and development and to formulate some possible alternatives for the future. Publications dealing with the problems and prospects for educational research and development are excerpted, reviewed, and their suggestions synthesized. Political problems involved in obtaining substantial federal support for educational research are discussed.

Williamson, J., & Moorman, H. The immediate future of the federal role: A framework for the debate. Educational Research Quarterly, 1977, 1(4), 54-69.

The authors worry that the survival of educational recommendations to Congress may be more a result of support for or opposition to noneducational programs. The administration and Congress have both been increasingly reluctant to expand funding for education due to the uncertainty about whether or not the effects of economic disadvantagement can be overcome in the schools. The categorical aid that is provided may be accompanied by such a burden on local staff that the authors suggest it should perhaps be replaced by general aid, with more flexibility given to state and local jurisdictions.

Wise, A. E. The hyper-rationalization of American education. Educational Leadership, 1978, 35, 354-361.

Attempts by federal and state governments and by the courts to impose policies on local schools have eroded the power of local decisionmakers. The author protests this drift toward centralization, which presupposes that schools function like bureaucratically organized factories.

Yaffe, E. Colorado Springs wrestles with Lau: A case study in federal intervention. Phi Delta Kappan, 1978, 60, 51-55.

This article illustrates the conflicts that arise "when a fundamentally just and simple law is taken over by a bureaucracy." It discusses the complex web of programs that were implemented in the Colorado Springs School District in an attempt to comply with HEW regulations. "As much time had to be spent in justifying everthing to the federal agency as was spent in developing the programs."